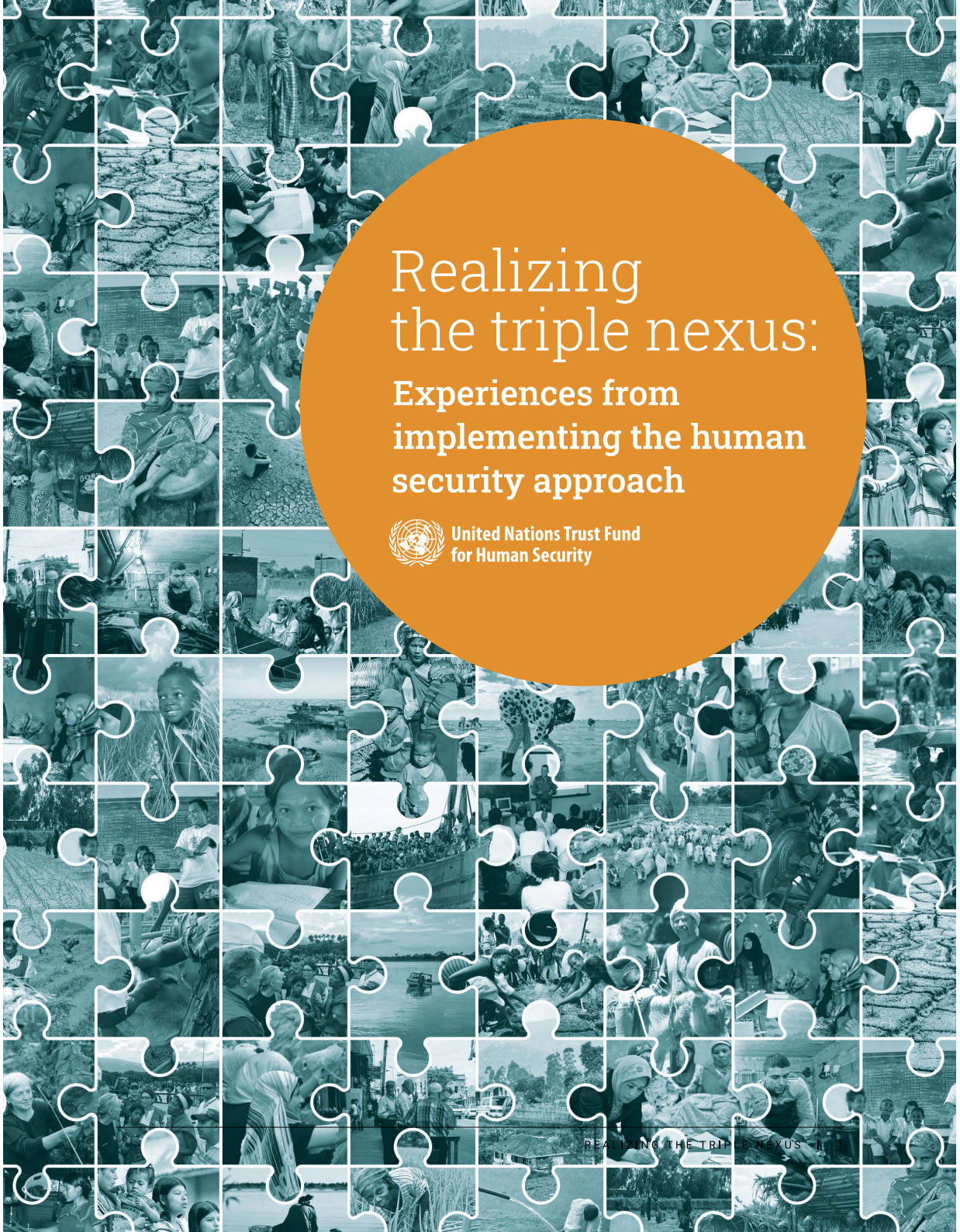

Realizing the triple nexus:

Experiences from implementing the human security approach

United Nations Trust Fund for Human Security

An integrated response for an insecure world

An insecure world

For many people, today's world is an insecure place, full of threats on many fronts. Natural disasters, violent conflicts, chronic and persistent poverty, health pandemics, international terrorism, and sudden economic and financial downturns impose significant hardships and undercut prospects for sustainable development, peace and stability. Such crises are complex and can grow exponentially, spilling into all aspects of people's lives, destroying entire communities, and crossing national borders.

Purpose

The purpose of this guidance note is to discuss the synergies between commitments made at the World Humanitarian Summit in 2016, including the "New Way of Working" (NWOW), and the application of the human security approach, which, since General Assembly resolution 66/290 of 10 September 2012, has grown in effectiveness and scope as a proven framework to tackle today's complex and multidimensional challenges. It shows how the application of the human security approach supports these commitments and strengthens the humanitarian-development-peace nexus (HDPN).

To this end, the guidance note:

- Offers a short synopsis of the HDPN in the context of the United Nations 75-year history, starting with the challenges and opportunities that COVID-19 presents to the Organization and the international community.
- Recalls the World Humanitarian Summit and outlines the key principles of the NWOW towards a stronger HDPN.
- Considers how the human security approach can support the operationalization of the nexus by promoting a response framework that is people-centered and operates across the three pillars of the nexus.
- Compares concepts which underpin the HDPN and the human security approach, and reflects on how to advance a more proactive, inclusive and transformative HDPN.
- Describes the step-by-step application of the HDPN from the human security perspective, drawing on lessons learned from activities supported by the United Nations Trust Fund for Human Security (UNTFHS) in the past two decades.

Toward an integrated response

In early 2020, a previously unknown virus, COVID-19, spread rapidly across the globe, threatening people's lives and putting nations and the global system under unprecedented stress. COVID-19 is a health, humanitarian and development crisis, with implications for peace and human rights. The pandemic, by threatening lives and devastating social and economic systems, has exposed and exacerbated vulnerabilities and inequalities within and across countries. It has highlighted the multifaceted nature of the challenges we face. And it has laid bare the limitations of longstanding paradigms that no longer fit our increasingly complex and interconnected world.

The pandemic, while resulting in immense human suffering, nevertheless presents a universal challenge, which if addressed effectively, can yield tremendous benefits for humanity. Responding to COVID-19 offers an opportunity to "build back better". The crisis provides an impetus for a renewed social contract, one where a strengthened HDPN can translate commitments into action, and people can live free from fear, want and indignity.

For people in crisis, acting on single issues is not enough. Insecurities must be tackled together. Only then will people begin to feel safe in all aspects of their lives, have the income and opportunities to attain well-being, and know that their rights and dignity are fully respected. The adoption of the 2030 Agenda and the corresponding Sustainable Development Goals (SDGs) demand such a people-centered and integrated response. By reaching those furthest behind, and by offering a holistic approach to tackle the root causes of COVID-19 and other crises, the SDGs provide the necessary shift for those working in HDPN to enhance collaboration, build resilience, and contribute to collective outcomes where no one is left behind.

Everything old is new again

At the dawn of the UN

Seventy-five years ago, at the dawn of the United Nations, humanity was struggling in the aftermath of what arguably had been the world's most dire and extensive outbreak of violence, intolerance and indignity. And yet even at this embryonic stage, the global community recognized the importance of the synergistic relationship encompassing what we now refer to as the triple nexus or HDPN in the establishment of the United Nations Relief and Rehabilitation Administration, which provided both humanitarian and development services.

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Over the last thirty years

For decades, policymakers and practitioners had been grappling with how best to transition from relief to development and achieve better outcomes for people affected by protracted and recurrent crises. With the introduction of the concept of Linking Relief, Rehabilitation and Development (LLRD), a linear, phased approach was pioneered. LLRD aimed at ensuring a smooth transition between emergency (quick actions to save lives), rehabilitation (reconstruction efforts to restore the pre-crisis status) and development (actions to improve living conditions of populations with a medium and long-term vision).

1990s: Joining up

The Linking Relief, Rehabilitation, and Development (LRRD) concept emerges amid a recognition that a better transition from humanitarian response to longer-term development support is needed, but it is criticised for being too linear and falls out of favour due to the politicisation of development aid in the post 9/11 era. In parallel, the UN starts to use the term "relief to development continuum".
—*The New Humanitarian*[1]

While a useful concept, the reach of LRRD was limited due to its lack of operational guidance and empirical evidence. Moreover, there was a shift in thinking away from short-term humanitarian assistance towards greater collaboration between humanitarian and development actors. It was believed that by working together, these actors could address systemic and structural causes of crises, foster long-term resilience, and prevent new spirals of fragility and instability.

2000s: Building resilience

Calls grow for humanitarian and development actors to work together more closely to help build longer-term resilience and capacity, especially in protracted crises or chronic vulnerability. Conflict prevention, disaster risk reduction, and disaster preparedness come to the fore. "Fragility" takes its place in the lexicon. More than 40 countries sign on to the 2011 New Deal for Engagement in Fragile States, committing to "supporting nationally-owned and led development plans and greater aid effectiveness in fragile situations". —*The New Humanitarian*

[1] Redvers, L and Parker B, *Searching for the Nexus: Give peace a chance*, The New Humanitarian, 13 May 2020.

The first decade of the 21st century demonstrated how the existing approaches could not respond to the complexity and severity of the challenges facing humanity. Conflicts, natural disasters, entrenched poverty, among others, had led to soaring rates in global displacement, with majority of refugees and IDPs living outside camps, and many migrants seeking shelter in Europe. During this time, the volume, cost and length of humanitarian assistance had grown exponentially, with no reprieve in sight. Governments and the international community had to rethink how to respond.

2012—2014: New needs

Global displacement rates soar with wars in Syria, South Sudan, and elsewhere, climate-related tensions, and Islamist insurgencies. With the majority of refugees and IDPs living outside of camps, and many migrants seeking shelter in Europe, governments and agencies must rethink how they respond. The foundation stones for the Comprehensive Refugee Response Frameworks (CRRFs) are laid. The term "compact" is coined for new deals for countries hosting refugees, such as Lebanon and Jordan, to boost their economies and give direct support to the communities where refugees are living. —*The New Humanitarian*

The endorsement of the SDGs in 2015 gave new prominence for the world community to go beyond rhetoric and propose the means by which to address the plight of the world's poorest, the world's most disadvantaged, and the world's most at risk. The SDGs provided the reference point and momentum for the three pillars of the United Nations (humanitarian, development, and peace) to come together under a reformed United Nations system, with the goal to reach all those left behind and to end humanitarian need.

2015: Leave no one behind

The UN's Sustainable Development Goals (SDGs) set out ambitious milestones to end poverty, hunger, HIV/AIDS, and discrimination against women and girls by 2030. States agree to "leave no one behind" and to "reach the furthest behind first" — this means development planners can't just work on the easier, middling problems but must tackle the most vulnerable and poorest in society — those that might typically be regarded as a "humanitarian" caseload. The SDGs leverage new thinking in humanitarian circles about how to break the cycle of protracted emergencies and make aid more efficient. —*The New Humanitarian*

A Vision for Change

The World Humanitarian Summit

In May 2016, for the first time in the history of the United Nations, Member States, non-governmental entities, civil society, private sector, international organizations, and populations affected by crises came together in Istanbul to respond to the unprecedented level of humanitarian need and suffering. In seeking to prevent the relentless spiral of fragility and instability around the world, the commitments made at the World Humanitarian Summit gave new urgency to the need for a coherent approach to improve outcomes for those affected by crises and living in fragile situations. It signaled a departure from the tendency to work in siloes, and tore down the propensity to see humanitarian and development responses as distinct and separate. It recognized that in far too many places — whether due to conflicts, natural disasters, pandemics, extreme poverty or failing institutions — protracted crises exact a staggering toll on all aspects of people's lives, a toll that requires combined responses from those working in the humanitarian, development, peace and security spheres.

The Summit moreover contributed to the global promise of the 2030 Agenda and its pledge to leave no one behind. By moving from prolonged and costly emergency responses to more strategically sequenced multi-year engagements, the Summit recommended a shift in thinking — one that looks at the root causes of crises to build resilience to risks and vulnerabilities and helps communities move towards a path of sustainable peace and prosperity. Indeed, a significant development arising from the Summit was the growing recognition of the importance of the SDGs in charting a comprehensive plan to transcend traditional divisions and provide an integrated framework to close the divide between humanitarian relief, development assistance and peacebuilding.

"We must bring the humanitarian and development spheres closer together from the very beginning of a crisis to support affected communities, address structural and economic impacts and help prevent a new spiral of fragility and instability. Humanitarian response, sustainable development and sustaining peace are three sides of the same triangle."

UN SECRETARY-GENERAL ANTÓNIO GUTERRES IN HIS INAUGURAL SPEECH

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The New Way of Working

A significant outcome of the World Humanitarian Summit was the development by OCHA of the handbook, *New Way of Working*.[2] It articulates new approaches to support development and humanitarian actors, along with national and local counterparts, in advancing collective outcomes that reduce risks and vulnerabilities. The NWOW should not be perceived as a multilateral or a UN-only agenda. It is an agenda that takes as its starting point the need to adapt and respond to complex challenges collectively, working collaboratively across institutional boundaries, on the basis of comparative advantage, and seizing synergies to achieve lasting results.

The new way of working has been endorsed by other development actors. In 2019, the Organisation for Economic Co-operation and Development (OECD) adopted a recommendation calling for "more collaborative and complementary humanitarian, development and peace actions, particularly in fragile and conflict-affected situations."[3]

A major contribution of the NWOW has been the development of an entirely new approach for the UN and its partners to articulate goals in a way that transcends the traditional humanitarian-development-peace divide. This "collective outcomes" approach offers the predictability and focus required to reduce overall levels of humanitarian need by building resilience and extending development gains to those most vulnerable. Collective outcomes emphasize the importance of prevention and peacebuilding measures to tackle the root causes of conflicts and fragility and to ensure sustained results. Their achievement depends on the following steps.

[2] OCHA (2017). *New Way of Working*.
[3] OECD (2019). *DAC Recommendation on the Humanitarian-Development-Peace Nexus*.

1
Conduct a Common Country Analysis by drawing on the Humanitarian Needs Overview and other risk and vulnerability analyses to achieve a targeted understanding of household and community vulnerability and local capacities to address them.
2
Define UNDAF or other national framework strategic priority areas for vulnerability reduction on key areas of risk and vulnerability. Where possible, link to national SDG targets.
FROM IDENTIFYING TO ACHIEVING COLLECTIVE OUTCOMES
3
Identify transformative but realistic, concrete, measurable reductions in levels of need, risk and vulnerability to adopt as collective outcomes. This may mean operationalizing UNDAF strategic priority areas and SDG targets at country level and formulating a compact or partnership framework for each outcome.
4
Propose and support processes to align agency-specific projects and work-plans to support the achievement of the collective outcomes.
5
Coordinate resource mobilization for these collective outcomes (ensure short-, medium- and long-term interventions are predictably financed with a diverse set of financing tools over a 3-5 year period.)

Collective outcomes

In practical terms, a collective outcome can be described as the deliverables that development and humanitarian actors (as well as other relevant actors) would like to achieve at the end of a three to five-year period. For example, the reduction of cholera infections in a city commonly struck by cholera from 50,000 to zero in three to five years; or the "legalization" of housing of an additional 100,000 long-term IDPs in a given city and their integration into municipal services. The approach is not a "hand-over" from humanitarian to development actors. Rather, it acknowledges that in protracted situations, humanitarian and development actors need to work side by side in a truly collaborative manner. Through a range of well-aligned short, medium and long-term interventions by a diverse range of actors, the NWOW sets the path for contributing to collective outcomes to reduce humanitarian need, risks and vulnerabilities and accelerate progress towards the SDGs.

The four building blocks

Along with the five steps to achieve collective outcomes, four building blocks are identified as crucial to the attainment of the NWOW:

1
Analysis:
Predictable and joint situation and problem analysis is required to come to a joint problem statement and identify priorities based on the vast amount of reliable data that is being collected.
2
Planning and Programming:
Better joined-up planning and programming between humanitarian and development actors is used to enable them to agree on a set of collective outcomes and plan backwards from those envisioned three to five-year results, asking what it takes to achieve them and which actors have the comparative advantage to deliver.
3
Leadership and capacity-building coordination:
Leadership and coordination is provided by an empowered UN Resident and Humanitarian Coordinator (RC/HC) who facilitates joint problem statements, and the identification, implementation and financing of collective outcomes engages with the national, local authorities and communities themselves and supports connectivity between funders and capacities available to contribute to such outcomes.
4
Financing:
Financing modalities are needed that can support collective outcomes. Especially in protracted crises, financing must include a broader range of flexible and predictable multi-year programming and diversified funding.

Challenges in implementing the triple nexus

Given the scope of the changes necessary for the successful completion of the NWOW, the UN Secretary-General in 2017 established the Joint Steering Committee (JSC) to advance humanitarian and development collaboration. It is led by the Deputy Secretary-General and contains Principals from all major UN entities, including the World Bank, who are involved in development, humanitarian, peacebuilding and peacekeeping activities. Seven pilot countries have been identified for a "hands-on trial approach" to articulate collective outcomes, and to introduce and foster the implementation of the four building blocks of the NWOW.

To date, the work of the JSC has had some encouraging results. For the last three years, country-level efforts, especially in articulating collective outcomes in four of the seven pilot countries, has been promising. Yet, significant challenges remain. Annual reports from the seven pilot countries, as well as the synthesis report prepared for the JSC in May 2019, reveal substantial barriers to the implementation of collective outcomes. Three of the four building blocks of the NWOW — analysis, planning and programming, and financing — continue to challenge the transition from siloed approaches to collective outcomes.

It is in this context that the human security approach can offer valuable lessons to advance the totality of what it means to achieve collective outcomes for people in crises. In addition, the UNTFHS has fostered people-centered, integrated, and preventative actions that address local needs and promote the articulation, resourcing, and implementation of collective outcomes. It has done this by pooling resources over multiple years and by providing the space to integrate and agree on a clear and coherent response framework among the UN system, the corresponding Governments, and all relevant stakeholders. The purpose of this guidance note is to share the lessons learned from more than two decades of in-country experience.

KEY CHALLENGES TO NWOW

- Institutional silos (including use of different terminology, data collection, programme management, and monitoring systems)
- Multiplicity of plans with different objectives and timeframes
- Fragmented funding by donors
- Lack of clear operational guidance

Why human security?

Human security is an approach to assist Member States in identifying and addressing widespread and cross-cutting challenges to the survival, livelihood and dignity of their people.

— GENERAL ASSEMBLY RESOLUTION 66/290

Grounded in realities of everyday life, human security recognizes three freedoms — freedom from fear, freedom from want and freedom to live in dignity — to be fundamental to people's lives and aspirations. It is a proven analytical framework and a practical operational approach to assess, develop, and implement integrated responses to a broad range of issues that are complex and that require the combined inputs of the UN system, as well as Governments, non-governmental entities, and the communities themselves. It recognizes that insecurities are interconnected and require a broad range of actors to work together to create multi-sector, integrated solutions.

Principles

Five fundamental principles encompass the human security approach:

1. First and foremost, the human security approach is people-centered. It considers the broad range of conditions that threaten the survival, livelihood and dignity of people and their communities, particularly those who are most vulnerable.

2. Second, the human security approach recognizes the complexity and interconnected nature of the challenges that confront people and their aspirations to be free from want, fear and indignity. By being comprehensive and by drawing together all the actors necessary to respond to a challenge, the application of human security ensures coherence, eliminates duplication and advances integrated solutions that result in more effective and tangible improvements.

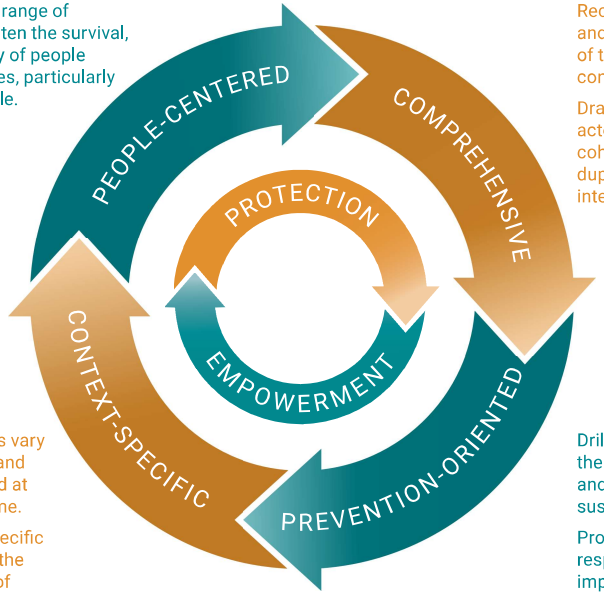
3. There is no "one size fits all" in addressing today's challenges. Recognizing that risks to the human condition vary considerably within and across countries, and at different points in time, the human security approach recognizes context-specific variances, including the differing capacities of people, civil society and Governments, as well as the root causes behind ongoing and future challenges.

4. The human security approach goes beyond quick responses and is prevention-oriented. By drilling down to ascertain the real causes of challenges and by building solutions that are in themselves sustainable and resilient, human security promotes the development of early warning mechanisms that help to mitigate the impact of current threats and, where possible, prevent the occurrence of future challenges.

5. Moreover, the human security approach recognizes that there are inherent responsibilities within each and every society. Empowering people and their communities to articulate and respond to their needs and those of others is crucial. Likewise, top-down norms, processes and institutions, including the establishment of early warning mechanisms, good governance, rule of law and social protection instruments are fundamental characteristics of the human security approach. The human security approach, therefore, brings protection and empowerment measures into a framework that can better address complex challenges to the human condition.

These five principles, which make up the human security approach, are mutually reinforcing and cannot be implemented as separate objectives. Indeed, it is essential to emphasize that working together in the context of human security involves much more than simply working jointly, side by side, but separately. It involves recognizing the strengths that accrue from true partnerships where different entities combine their strengths to create synergies that can achieve far greater impact in addressing today's complex and multidimensional challenges.

Considers the broad range of conditions that threaten the survival, livelihood and dignity of people and their communities, particularly those most vulnerable.



Recognizes the complexity and interconnected nature of the challenges that confront people.

Draws together diverse actors thereby ensuring coherence, eliminating duplication and advancing integrated solutions.

Recognizes that risks vary considerably within and across countries, and at different points in time.

Identifies context-specific variances, including the differing capacities of people, civil society and Governments, and the root causes behind challenges.

Drills down to ascertain the real causes of challenges and promotes resilience and sustainable solutions.

Promotes proactive responses to mitigate the impact of current threats and, where possible, prevent the occurrence of future challenges.

The added value of human security as an operational tool

Programmes applying the human security approach have a well-established track record. They have strengthened the UN's support to Governments and people in enhancing their resilience to climate change and natural disasters, promoting peaceful and inclusive societies, addressing the underlying causes of persistent poverty, and bolstering the transition from humanitarian crises to long-term sustainable development. The strength and appeal of these programmes lie in the following components:

Leave no one behind

- Identifies how challenges and their root causes vary considerably across countries and communities.
- Promotes highly localized and disaggregated analyses of the needs, risks and vulnerabilities of different communities and groups.
- Emphasizes those most vulnerable and ensures that no one is left behind.

From coordination to integration

- Highlights the necessity to refrain from looking at people's lives through the lens of specialized entities and or interested parties, which often result in silo- or supply-driven responses.
- Ensures policy coherence and coordination across traditionally separate fields and doctrines, and enables comprehensive, integrated and prioritized solutions for the short, medium and long-term by developing collective outcomes to achieve the greatest impact possible.

Multi-stakeholder partnerships

- Draws together the expertise and resources of a wide range of actors from the UN system, Governments, private sector, civil society and local communities.
- Promotes synergies that capitalize on the comparative advantages of each implementing partner and helps empower individuals, communities, and Governments to build their resilience to current and emerging challenges.

Emphasis on early prevention

- Addresses the root causes of crises and emphasizes proactive early prevention as opposed to reactive late interventions.
- An emphasis on addressing the root causes, building resilience, and preventing risks is key to transforming the world from delivering aid to ending need.

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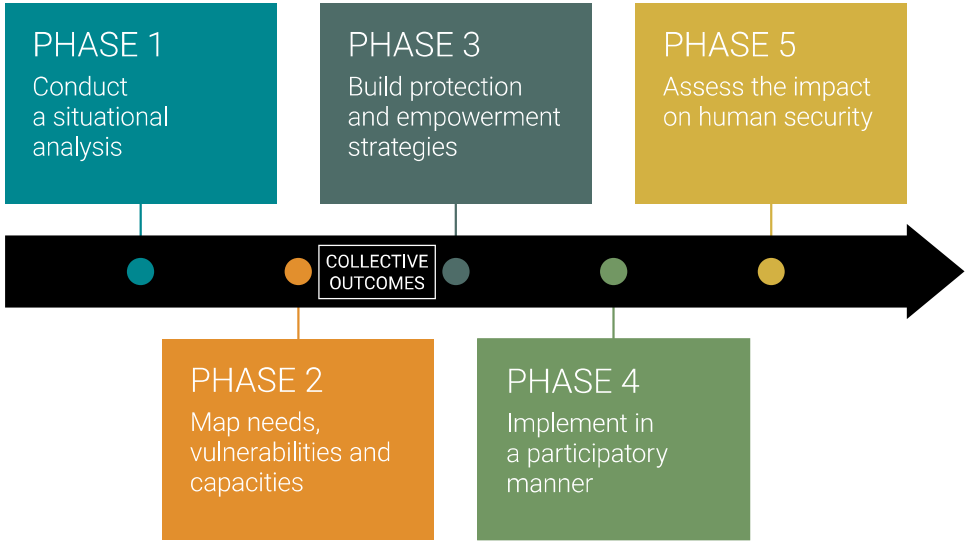
Human security programming

Human security is a multidimensional analytical framework to assess, develop and implement integrated responses to a range of complex issues that require the combined inputs of the UN system, Governments, non-governmental entities, and the communities themselves. It is a framework that recognizes the interconnected nature of threats to the holistic sense of confidence in today's gains and tomorrow's potential. It is a lens that reminds us that challenges facing the international community cannot successfully be ameliorated through separate initiatives, each assigned to a particular entity. The following is a description of the five phases of human security programming.



PHASE 1:
Conduct a situational analysis

This phase seeks to understand the complexity of threats, their root causes, and their impact on communities and groups as well as state and non-state institutions across the different components of human security (i.e., economic, food, health, environmental, personal, community, and political, *inter alia*).

- Consider the broad range of existing and potential threats in order to provide a risk-informed perspective.
- Differentiate the impact that risks and threats have on communities and groups, as well as state and non-state institutions.
- Visualize the domino effect of threats across the different components of human security to identify the most pressing and pervasive threats in a given context.
- Define a common understanding of the problem.
- Examine the root causes across levels (global, regional, national, and local) to help indicate short, medium and long-term planning.
- Identify entry points to have the greatest multiplier impact.
- Recognise the need for different constellations of partners to respond to the multidimensional nature of the problem.

PHASE 2:
Map needs, vulnerabilities and capacities

Based on participatory processes, this phase collectively identifies the needs, vulnerabilities and capacities of the affected community(ies).

- Disaggregate subgroups in the target area and highlight the most vulnerable.
- Reflect on existing needs and emerging vulnerabilities (proactive and preventative).
- Identify existing capacities, resources and assets (of both communities and institutions) that can be strengthened or expanded upon.
- Consider the interconnectedness of the different components of human security.
- Highlight possible entry points for multiplier impact.

COLLECTIVE OUTCOMES

Based on the information derived from phases 1 and 2, one of the most important steps in applying the human security approach is to articulate and develop human security (collective) outcomes. These require simultaneous action from diverse stakeholders over a three to five-year period with the aim of reducing people's needs, risks and vulnerabilities and accelerating progress towards the SDGs.

PHASE 3:
Build protection and empowerment strategies

By developing hybrid/dual strategies that combine mutually reinforcing actions for protection and empowerment, this phase helps to prevent and mitigate the recurrence of crises.

- Map existing protection and empowerment initiatives to situate the programme within the larger context to limit duplication and enhance synergies with other plans.
- Focus on gaps in the existing protection and empowerment infrastructure and identify ways to address them.
- Promote active engagement of individuals and communities, reinforcing their ability to act on their own behalf.
- Encourage dialogue among stakeholders at various levels and contribute to strengthening state-society relations as well as intra-communal relations.

PHASE 4:
Implement in a partecipatory manner

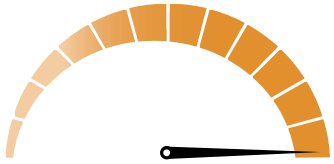
As this is true throughout all phases of human security programming, from analysis to evaluation, human security actions must be participatory and inclusive.

- Involve local and national partners as well as affected communities, in partnerships with a broad range of stakeholders.
- Aim to build capacities and allow those affected to drive change and transformation.

PHASE 5:
Assess the impact on human security

Monitoring and evaluation of collective outcomes is a fundamental characteristic of the application of the human security approach and the assessment of human security programmes.

For more information on the application of the human security approach, please refer to the Human Security Handbook.



Accelerating progress toward a better future

Part 2 of this guidance note will explore how the human security approach offers some lessons for UN agencies, Member States, non-governmental organizations and communities who seek to implement the the New Way of Working. It draws on lessons learned from nearly two decades of collaboration through the human security approach to produce collective outcomes. It is our hope that this experience can contribute to accelerating progress toward meeting the SDGs and improving life for communities across the globe.

Tools and operational lessons from the human security approach

Drawing on lessons learned

For more than two decades, the UNTFHS has supported local initiatives in more than 100 countries, each of which has been implemented by a team of UN agencies and their partners in government, civil society and, in some cases, the private sector.

Most of these programmes have taken place in fragile contexts, in communities and with people who can best be served through coordinated programming that addresses the "triple nexus" — combining humanitarian assistance and peacebuilding with longer-term development.

This section will share lessons the Trust Fund has learned over the past fifteen years to support the UN and their partners in operationalizing the humanitarian-peace-development nexus and implementing the New Way of Working (NWOW).

How this section is organized

As discussed in Part 1, the NWOW handbook[4] recommends that UN agencies and their partners work in closer alignment along four main areas:

1) ANALYSIS

2) PLANNING AND PROGRAMMING

3) LEADERSHIP AND COORDINATION

4) FINANCING

This operational part of the guidance note is organized according to these four areas. They are not necessarily consecutive steps, but building blocks or areas of work to be advanced when necessary or in some cases, simultaneously. For example, it is most effective to secure and harmonize multi-year financing while conducting a joint analysis and subsequent planning.

[4] OCHA (2017). *New Way of Working.*

About the examples, tools and methods

The following sections feature examples of experiences from UNTFHS programmes which identify tools and methods that may be useful in implementing the NWOW.[5] They reflect the collective experience of partners across the UN system and were developed and refined while applying the human security approach in challenging contexts. Each example describes how the programme used the method or tool to address the insecurities[6] faced by people and communities.

This guidance note will help you to:

1. Apply analytical methods from the human security approach to implement the New Way of Working
2. Use tools to create collective outcomes
3. Design programmes that create results across the humanitarian-development-peace nexus
4. Implement joint and innovative financing

[5] This is in response to a call for identify existing tools and approaches to facilitate the NWOW. See OCHA (2017). WHS Anniversary Event: *Advancing a New Way of Working*.

[6] The components of human security are interconnected, and may include **economic security** (unemployment, lack of access to credit and other economic opportunities), **food security** (hunger, famine), **personal security** (violence in all its forms, lack of rights and access to opportunities), **community security** (inter-ethnic, religious, identity-based tensions, crime, conflicts), **environmental security** (environmental degradation, resource depletion, pollution), and **health security** (deadly infectious diseases, malnutrition, lack of access to basic health care).

1 Analysis and joint information collection

The OCHA *New Way of Working* handbook recommends that UN agencies and their partners conduct a joint situational analysis, craft a problem statement together, and identify priorities based on reliable data. This joint analysis by humanitarian, development and peace actors, among other partners, provides the foundation for exploring options to improve coherence and complementarity — with a shared objective of reducing risk, vulnerability and need. According to the OECD's Development Assistance Committee (DAC), it can also be a critical step in deciding where money can best be spent.[7]

Despite these recommendations, a 2018 review of progress to advance humanitarian and development cooperation[8] found that analysis is often fragmented, undertaken in institutional siloes and sometimes without collaboration with governments. In addition, although humanitarian, peacebuilding and development actors have existing analytical tools, they often lack an overarching framework to connect these distinct tools in a way that promotes a broader understanding of the short and longer-term challenges facing local communities.

By being comprehensive, the human security approach provides an umbrella under which existing tools and approaches can be brought together to produce a rich and detailed understanding of the risks at multiple levels as well as the needs and vulnerabilities of communities. Such an approach enables a shared understanding by diverse actors of a given situation, its complexity and the array of successive actions necessary to chart a course out of crisis towards stability and development progress. This analysis consists of the following three steps:

a) Joint analysis of risks and threats at different levels
b) Joint analysis of impacts on people and institutions
c) Mapping of needs, vulnerabilities, and capacities

[7] OECD (2019). *DAC Recommendation on the Humanitarian-Development-Peace Nexus*. DAC is composed of UN agencies, donors, and multilateral financiers like the World Bank.

[8] Observations presented to a 2018 High-Level Meeting of the Joint Steering Committee to advance Humanitarian and Development Collaboration, 2 May 2018, London.

1a Joint analysis of risks, threats and root causes

GOAL

To understand the breadth of risks and threats that lead to insecurity and the causes, factors and deficits that exacerbate their impact on the survival, livelihood and dignity of people.

HOW

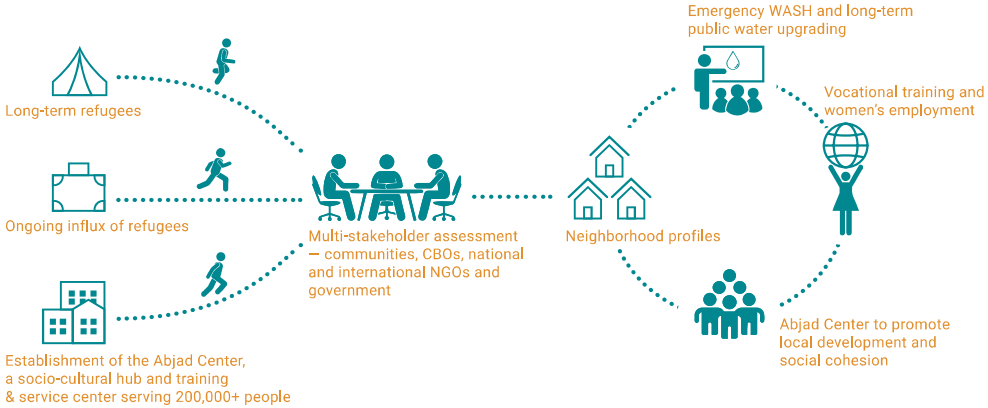
1) Identify the risks and threats at different levels (global, regional, national and local).
2) Outline the causes, factors and deficits that make these risks and threats a challenge to human security.

What does an analysis of risks, threats, and root causes achieve?

- Identifies the most pressing and pervasive risks in a specific context by exploring a comprehensive set of threats at the global, regional, national and local levels.
- Ensures a more realistic view of the complexity of risk assessment and management by considering the multiple, concurrent and emerging threats that interact in a given context.
- Examines the causes, factors and deficits (such as a lack of social protection systems or early warning systems) that turn risks and threats into human crises.
- Shows how some risks and threats are beyond the control of communities and governments, which can indicate when different constellations of partners and actions may be necessary to respond effectively.
- Indicates short, medium, and long-term actions that may be necessary and introduces a reflection on how humanitarian or development decisions can contribute to creating risk.
- Ingrains a risk-informed perspective from the beginning of the analysis, which supports greater coherence between humanitarian, peace and development interventions based on reducing vulnerability and building resilience.
- Harnesses the benefits of sharing experience between different sectors and institutions to set the foundation for coordinated implementation across the HDP nexus.

Refugee and host communities in the northern city of Tripoli in **Lebanon** face a diverse set of risks and vulnerabilities, including a continued influx of refugees from neighboring Syria as well as ongoing political uncertainty. In 2017, with support from UNTFHS, UN-Habitat, UNICEF, and UN Women created an integrated response that began with joint analysis across the humanitarian and development sectors. Through surveys, they mapped the breadth and scope of the challenge. Using a "3 Ws approach" — who, what, where — they identified the critical human insecurities and their root causes, creating risk-informed neighborhood profiles. They did this in consultation with a range of stakeholders, including community-based organizations, national and international NGOs, and officials from the national and municipal governments. The neighborhood profiles contributed to a common understanding of the problems faced by refugees and host communities and helped shape the programme's activities, including actions to address immediate needs, promote economic security among local populations, and build resilience and social cohesion. The process also laid the ground for the creation of the programme's evidence-based governance framework.

Joint analysis in Tripoli, Lebanon


Long-term refugees
Ongoing influx of refugees
Establishment of the Abjad Center, a socio-cultural hub and training & service center serving 200,000+ people
Multi-stakeholder assessment – communities, CBOs, national and international NGOs and government
Neighborhood profiles
Emergency WASH and long-term public water upgrading
Vocational training and women's employment
Abjad Center to promote local development and social cohesion

RESULTS

More than 200,000 people served through Abjad Center	More than 500 women trained and working in new industries	45 local businesses participated in job placement for trainees

In order to support their families, many residents in West Java, **Indonesia**, have entered into bonded labor outside the country, exposing them to abuse and sexual exploitation. To address the issue, a UNTFHS-supported programme led by IOM, UNFPA and WHO from 2011 to 2013 identified the risks and threats at different levels and considered the contributing factors and institutional deficits which result in grave human insecurities. For example, two threats identified at the local level were a lack of victim services and no real sense of how to prevent unsafe migration. At the national level, the 2007 anti-trafficking law was not being adequately enforced due to a lack of capacity. This multilevel analysis led to a hybrid strategy addressing both the gaps in the institutional and policy environment as well as those at the community level to enhance safety and build resilience. The national initiatives included building the capacity of judicial and law enforcement officers to collect and manage information on trafficking. These were combined with local initiatives to establish an assistance fund to facilitate the return, recovery and reintegration of victims and to create community watch units as a way to disrupt the chain of unsafe migration.

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1b Joint analysis of impacts

In addition to outlining risks and threats, it is essential to understand their multidimensional and often cascading impacts on people and institutions. Such an analysis helps map the relationship of consequences across the dimensions of human security, pinpointing areas where stress or insecurities are highest for people and can impede the State's capacity to respond. These "entry points" focus attention on challenges that often require the combined inputs of multiple actors. In addition, they can facilitate effective collaboration in identifying priorities and envisaging the role each actor can play based on their comparative advantage.

GOAL

To understand the compounding impacts of threats on people, communities, the State and institutions.

HOW

1) Assess the manifestations of these threats across human security dimensions (see footnote 3) and their related impacts.
2) Outline the multidimensional impacts to identify areas where the stress or insecurity is highest for people and institutions.

What does a joint analysis of impacts achieve?

- Differentiates the impact that risks and threats have on people, communities, States and institutions.
- Visualizes the domino effect of threats across different components of human security, uncovering how various risks and their impacts are interconnected.
- Assesses the level of stress on various components of human security, identifying entry points to ensure the greatest multiplier effect as well as areas where State-society relations could deteriorate or be enhanced.
- Identifies areas of lesser stress that nonetheless should be addressed to prevent a worsening situation in the medium or longer term.

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A UNTFHS-funded programme in **Liberia** from 2014 to 2018 offers a good example of the process of mapping the relationship of consequences across human security dimensions. It focused on fragile border communities in the southeastern part of the country where refugees from Cote d'Ivoire exerted pressure on limited resources. Led by FAO, the initiative involved WFP, UNICEF, UN Women, UNFPA and the ILO as well as the Government of Liberia, local partners and the United Nations Mission in Liberia. Together, they identified cascading impacts leading to poverty and hunger, including exclusion, low agricultural productivity, insecure land ownership, poor infrastructure, gender inequality and a lack of social services. The holistic response to these interlinked insecurities created programme synergies that addressed basic needs as well as multiple obstacles to sustainable development. This work began to transform the conflict environment, making it possible to identify actions necessary to promote long-term stability and peace.

Each year, nearly half of the indigenous Ngäbe-Buglé peoples leave the reservation in western **Panama** in search of farm work, often traveling in family groups across the border into **Costa Rica** under highly vulnerable conditions. From 2013 to 2016, a UNTFHS-funded programme developed a unique cross-border and bi-national initiative to improve their situation. It was led by IOM and carried out with UNFPA, UNICEF and UNDP. Box 1 gives an example of a joint analysis they did to identify the range of threats and their impacts on the Ngäbe-Buglé peoples. Such an analysis, by simultaneously addressing multiple insecurities, promoted policy coherence and coordination across traditionally separate sectors, institutions and actors in both countries and along the migratory route. For example, since improvements in health insecurities are intricately connected to political and economic insecurities, access to health services went hand in hand with bi-national political agreements for seasonal migrants. This allowed them to exercise their rights to work, health care and education based on local and national support structures that were culturally sensitive and accessible.

THREAT IMPACT ANALYSIS:

Indigenous families moving between Panama and Costa Rica for work

Threats/challenges

Political insecurity

Lack of coordination between Costa Rican and Panamanian institutions responsible for safe, orderly and regular migration

Policies and procedures that limit access to public services for migrant workers

Economic insecurity

Overemphasis on mega-projects where violations of labour rights for indigenous and migrants are common

Limited economic opportunities outside of large mega-projects such as coffee and banana plantations

Personal insecurity

Widespread discrimination vis-à-vis indigenous people and undocumented migrants

Lack of cross-cultural understanding – indigenous people seen as against development with poverty due to their culture

Health insecurity

Lack of access to medical coverage

Unsafe working conditions with extended working hours (sometimes more than 14 hours)

Environmental insecurity

Climate change

Environmental destruction due to mega-projects and negative coping mechanisms

Food insecurity

Increased occurrence of floods and droughts

Loss of traditional practices

Impacts

Irregular migration resulting in rise in criminal activities and human rights abuses

Lack of documentation for economic migrants

Intergenerational cycles of poverty

Extreme poverty

Unsafe working conditions and excessive work schedule

Child labour

Reduced public finance for social services

Lack of knowledge of their rights

Salaries below minimum wage

Loss of traditional practices

High rates of preventable infectious diseases

Weak worker protections, leading to injury and illness

Declining crop production

Drop in self-sufficient food production and sale of surplus food

Poor nutrition

Declining crop production

1c Mapping of needs, vulnerabilities and capacities

A key challenge that the NWOW aims to address is to reduce the need for and length of humanitarian assistance by promoting sustainable solutions. As such, it recommends a stronger connection between humanitarian needs assessments and other risk and vulnerability analyses. This can provide a more targeted understanding of vulnerability at the community and household levels, as well as the capacities, resources and assets at the local level to address needs and vulnerabilities.

A fundamental component of the human security approach is an extensive, localized and disaggregated assessment of needs, vulnerabilities and capacities, which makes it a valuable tool for operationalizing the nexus. Assessing needs indicates current status and helps identify those groups and subgroups that are furthest behind. Including vulnerability helps anticipate people's potential needs over time and in response to certain shocks, which can help prevent a future humanitarian emergency, if addressed proactively. It also helps identify areas where resilience-building should be prioritized.

What's more, a comprehensive inventory of capacities, resources and assets at the local level lays the groundwork for empowerment-based initiatives. This ensures that humanitarian, peace and development initiatives are aligned with local realities and priorities. Bringing all three together can help chart a trajectory of support by actors from across the HDP nexus.

GOAL

To understand the needs, vulnerabilities, and capacities of the affected communities across the human security dimensions and to identify those who are most vulnerable or at risk of being "left behind".

HOW

1) Disaggregate the subgroups in the target area.
2) Determine the needs per subgroup.
3) Identify existing and emerging vulnerabilities (proactive and preventive).
4) Inventory existing capacities, resources and assets as well as gaps (for communities, groups and institutions).

What does the mapping achieve?

- Highlights the most vulnerable subgroups per priority area or human security dimension to identify those furthest behind or at risk of being left behind.
- Enables the elaboration of targeted responses to ensure that actions towards peace and sustainable development reduce inequalities.
- Identifies current status as well as areas of potential future needs to enable proactive and sustainable solutions, and support more coherent sequencing across the HDP nexus.
- Uncovers possible positive and negative externalities between subgroups or sectoral issues to maximize synergies and consider how to manage trade-offs.
- Identifies existing capacities, resources and assets (of both communities and institutions) that can be strengthened and leveraged for locally relevant and sustainable solutions.
- Refines and provides an in-depth understanding of the situation to better prioritize and identify areas for collaborative response, providing the rationale for the elaboration of collective outcomes.

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An example of this process can be seen in a UNTFHS-funded programme in Beni region in the north of **Bolivia**. Frequent droughts, storms and floods make life difficult for the indigenous peoples and farmers who live there. The programme, a collaboration between WFP, FAO and UNICEF from 2012 to 2014, began its mapping by identifying needs and vulnerabilities, focusing in on five types of insecurity: food (loss and failure of productive agriculture and lack of access to food); economic (severe income declines due to drop in sales of products); health insecurity (malnutrition, water-borne and vector-borne diseases); environmental insecurity (flooding and drought); and community insecurity (destruction of crops and forced migration). Their disaggregated analysis identified indigenous women and older adults who shouldered not just caregiving and household responsibilities, but the isolation and exclusion faced by indigenous people. This led them to mainstream gender, generational and intercultural approaches. They identified existing capacities that had been overlooked by preceding humanitarian interventions, incorporating traditional techniques for constructing embankments to provide a safe haven for cattle during floods and water storage during droughts. Mitigating recurrent disasters with one type of infrastructure connected emergency assistance to long-term development goals and strategies. Comprehensively responding to multidimensional needs, reducing vulnerabilities, identifying those in the most vulnerable situations, and incorporating traditional knowledge and practices helped people in Beni to become better at anticipating crises, identifying emerging threats, and mitigating these impacts before they could undermine hard-earned development gains.

In Sindh Province in southeast **Pakistan**, a series of floods created a humanitarian crisis. From 2013 to 2016, the UNTFHS partnered with FAO, ILO and UN Women in a programme that aimed to go beyond humanitarian assistance to help the community build greater resilience in the face of droughts, floods and other insecurities. Dependent on feudal and tribal landholding and farming systems, the people were exposed to many vulnerabilities, including the lack of formal tenancy agreements and national identity cards and, for women, low status, poor income opportunities and gender-based violence. Joint information collection and analysis provided the basis for building the programme and signalled the need to give special attention to women's empowerment. The UN agencies held consultative workshops with local authorities and other stakeholders in which they developed an implementation plan detailing coordinated, synergetic outputs and roles and responsibilities of all involved. Interventions were also informed by a land mapping conducted with local communities and a needs mapping that led to analyses of local economic opportunity and microfinance supply and demand. The resulting programme also drew on community capacities — including that of youth and women — to focus on entrepreneurship and business development, and official recognition of social status, together with livelihood diversification. The communities' resilience was enhanced by the construction of flood-resistant houses and shelters using inexpensive, locally sourced materials such as bamboo and providing communities with training and awareness in preparation for emergencies (including the mobilization of volunteers).

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Who are the people left behind?

- Effectively addressing the needs of those facing the greatest deprivation and disadvantage is critical to overcoming perpetual humanitarian need, which is a key objective of the NWOW.
- People who are left behind in development are often economically, socially, spatially and/or politically excluded — for example, due to ethnicity, race, gender, age, disability or a combination of these, leading to multiple discriminations.
- They are disconnected from societal institutions, lack information to access those institutions, networks, and economic and social support systems to improve their situation, and are not consulted by those in power.
- They are not counted in official data — they are invisible in the development of policies and programmes. They have no voice.
- People left behind are those most at risk of not enjoying their civil, cultural, economic, political or social rights.

2 Planning and programming

Achieving transformative change requires comprehensive strategies that consider the linkages of programming elements over time as well as across sectors and levels. At the core of the New Way of Working is therefore the development of collective outcomes. Based on this, a roadmap can be elaborated that integrates, sequences and layers the actions of humanitarian, peace and development actors. Partners can plan backwards from those envisioned three to five-year results, asking what it takes to achieve them, and which actors have the comparative advantage as well as the capacity to deliver.

By grounding the analysis in the local context and situating it within the broader dynamics of risks and threats, the human security approach helps bring together the temporal, sectoral, contextual and institutional elements necessary to develop collective outcomes that can meaningfully chart a pathway from crisis to stability and longer-term development. This includes maintaining a focus on the most vulnerable by integrating actions in the same geographical areas.

It also includes a clear accounting of the differing levels of capacity among the partners, including State and local actors. Efforts to develop capacity when necessary, in order to harness the benefits that accrue from true partnership can be prioritized.[9] Moreover, gaps in the protection and empowerment infrastructure of the country at the national and subnational levels can be better identified and addressed through inter alia building upon existing strengths, assets and resources.

The human security approach has developed three steps for planning and implementing across the HDP nexus:

a) **Articulate collective outcomes**
b) **Build protection and empowerment strategies**
c) **Implement in a participatory manner**

[9] A 2019 analysis published by the IOM also looks closely at the operational environment at the national level. See Perret, Liam (2019). Operationalizing the Humanitarian–Development–Peace Nexus: Lessons learned from Colombia, Mali, Nigeria, Somalia and Turkey. IOM, Geneva.

2a Articulate collective outcomes

GOAL

To bring together all of the information derived from the analysis and to develop a range of collective outcomes that require simultaneous action from diverse stakeholders.

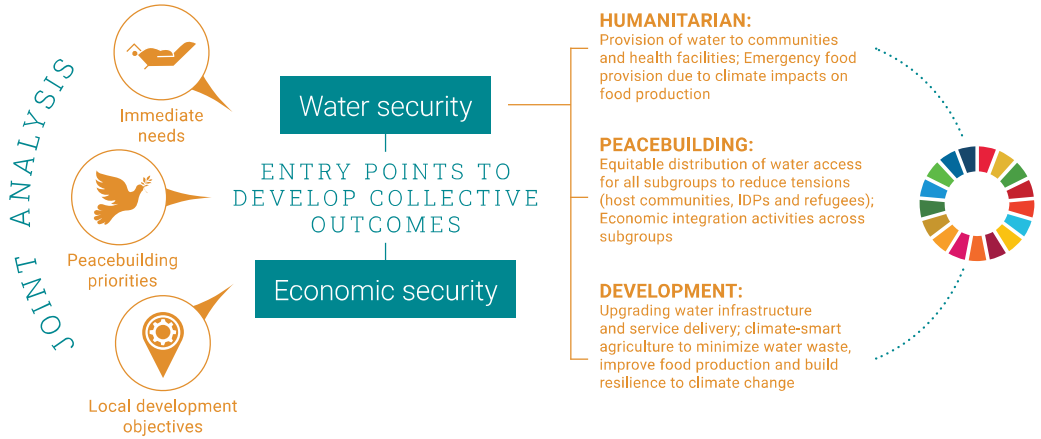
HOW

1) Consider the priority areas, the most pressing needs and vulnerabilities by subgroup, as well as the most critical and pervasive risks and their root causes.
2) Define a common vision on what you are trying to achieve in the long term.
3) Identify outcomes towards the common vision that require the combined efforts of diverse stakeholders and that can be achieved in three to five years.
4) Frame them as collective outcomes and assure that they are SMART (specific, measurable, achievable, relevant, time bound).

What can be achieved by articulating collective outcomes?

- Brings together the information derived from the analysis (causes, impacts, needs and vulnerabilities, and capacities) to ensure a shared and comprehensive understanding of the situation.
- Translates analysis into action by helping define commonly agreed goals across stakeholders, linking them to national plans and the Sustainable Development Goals.
- Allows for taking a longer-term perspective and ensuring context-specific strategies in the short, medium and long term.
- Frames necessary sequencing and layering for coherent, integrated and efficient responses and actions of multiple stakeholders.
- Promotes joint action, monitoring and evaluation and accountability.

Developing collective outcomes in Cameroon


JOINT ANALYSIS
Immediate needs
Peacebuilding priorities
Local development objectives
Water security
ENTRY POINTS TO DEVELOP COLLECTIVE OUTCOMES
Economic security
HUMANITARIAN:
Provision of water to communities and health facilities; Emergency food provision due to climate impacts on food production
PEACEBUILDING:
Equitable distribution of water access for all subgroups to reduce tensions (host communities, IDPs and refugees); Economic integration activities across subgroups
DEVELOPMENT:
Upgrading water infrastructure and service delivery; climate-smart agriculture to minimize water waste, improve food production and build resilience to climate change

A UNTFHS programme starting in 2021 in the Far North region of **Cameroon** is bringing together UNDP, FAO, UNICEF and UN Habitat and an extensive range of national, local, NGO and bilateral partners to address the multidimensional crisis in the Lake Chad Basin. From a humanitarian perspective, the programme is addressing the displacement and violence inflicted by Boko Haram, food shortages during the dry season, and the immediate response to the COVID-19 pandemic. Peacebuilding actors are focusing on ameliorating tensions among host, refugee and IDP communities, and development interventions are addressing vulnerability to climate and economic shocks, poverty, limited governance capacity and COVID-19 recovery. Bringing these strains of action together, the programme identified two key entry points around which to develop collective outcomes that will address both the underlying drivers of insecurity and create the conditions for sustainable development to take root. These are: (1) enhancing access to water and expanding service provision of water for all subgroups in order to address both immediate health and food needs and to contribute to expanding livelihood opportunities and enhancing resilience to climatic shocks; and (2) introducing economic activities that build social cohesion across groups and reduce climate vulnerability among all subgroups.

In **Guatemala** from 2013 to 2015, UNDP, PAHO/WHO and FAO worked together on a programme to help communities in the country's "Dry Corridor" to recover from and better cope with prolonged droughts that ruined their harvests. The lack of food had exacerbated malnutrition among women and children and put pressure on inhabitants to migrate. The UN agencies, working togther, ensured that a diverse set of stakeholders took part in setting the programme's goals and defining collective outcomes, including local authorities and the communities themselves. This was achieved through a number of mechanisms, including strengthening community forums such as youth associations, water committees, school boards, and women's committees. They then provided inputs and influenced policies of the development councils. Early on, emphasis was placed on working with authorities to better respond to their constituents' needs. According to an authority with Guatemala's Ministry of Health: "[Before] everyone wanted to do something, but in different directions and in the end, nobody was able to do anything. Now we are all working towards the same direction, towards a common goal." Results included improved early warning and emergency prevention, sustainable water management and agricultural practices as well as increased access to health services for 22,000 residents of the municipality of San Luis Jilotepeque and 8,000 inhabitants of the watersheds of Las Mesas and El Camarón.

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Collective outcomes: A core component of the human security approach

Since the Commission on Human Security released the 2003 report, Human Security Now, in which great emphasis was placed on strengthening transitions from crisis to stability, defining collective outcomes has been a core component of the human security approach.

As such, human security policies and programmes are characterized by (i) forward-looking strategies that consider how to move from short-term needs to longer-term sustainability; (ii) comprehensive and integrated action in the same geographical area and targeted towards the most vulnerable communities; and (iii) multi-stakeholder partnerships across institutions and sectors that leverage the expertise and unique capacities of diverse actors.

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2b Building protection and empowerment strategies

Fragmented approaches, whether siloed by sector, mandate or level of governance, are not enough to transform conflict or crisis dynamics. Altering the conditions that give rise to crisis requires changes at the institutional and policy level combined with community-based solutions. In the context of achieving the triple nexus, this means ensuring that humanitarian actions create conditions conducive to development and that development initiatives take a broad approach that equally benefits people who are the most vulnerable and furthest behind. The hybrid protection and empowerment approach promoted by human security directly links policy reform with community resilience building so that future shocks are less likely to result in large-scale and protracted crises. Moreover, beyond the technical interconnection between policy and community initiatives, the elaboration of these strategies promotes dialogue between actors, including the State and society, to rebuild trust and mend the social fabric.

GOAL

To design strategies that combine mutually reinforcing actions to protect and empower communities and in particular those members who are most vulnerable.

HOW

1) Outline the protection infrastructure at various levels that plays a role in the insecurity or priority you intend to address. What protective mechanisms exist to address it? What is lacking in terms of protection?
2) Assess the institutional and community capacities, resources, strengths and assets that can be built upon. What capacities exist and can be enhanced through empowerment measures? What is lacking in terms of empowerment?
3) Find ways to link protective strategies to empowerment strategies when appropriate.

What are the benefits of building protection and empowerment strategies?

- Linking top-down and bottom-up measures in a mutually reinforcing way increases the impact of each component and creates an environment conducive to promoting the structural and behavioral change necessary to sustainably tackle complex challenges.
- The process for developing these strategies focuses attention on gaps in existing protection and empowerment mechanisms so more comprehensive and efficient solutions can be designed.
- Encourages dialogue among stakeholders at different levels and promotes the active engagement of individuals and communities thereby strengthening state-society relations as well as inter-community relations.
- Situates the programme within the context of the many actors and interventions taking place in complex crisis contexts, which helps identify synergies beyond any one specific initiative and can harness existing resources in a more coherent manner.

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From 2012 to 2015, a UNTFHS-funded programme led by IOM with UNFPA, UNICEF, ILO and UNODC sought to enhance human security for hundreds of thousands of vulnerable migrants in transit through the states of Chiapas, Oaxaca, and Tabasco in southern **Mexico**. They included women and children and many adolescents traveling alone, all of whom faced a multitude of threats from kidnapping for ransom to sexual exploitation, health insecurity, and inhumane conditions. In outlining the protection infrastructure, the implementing partners and stakeholders together identified key gaps that led them to build a new model of support that provided a coherent set of services along the migratory route and trained some 800 local and federal authorities in migrant protection. As a complement, the programme elaborated a set of empowerment-based actions including strengthening the provision of healthcare and other services by health officials and community service organizations and engaging host communities in welcoming and coexisting peacefully with the migrants. The success of this hybrid approach has been recognized as a global best practice and has been replicated in Germany.

A UNTFHS-supported programme in **Kosovo** illustrates the advantages of linking protection and empowerment strategies. The programme, a collaboration between UNDP, UNV, UNFPA, UNICEF and WHO, sought to improve economic prospects and health outcomes in two poor municipalities bordering Pristina. On the protection side, the programme targeted marginalized communities such as the Roma, who are often excluded from development plans, as well as those who were least able to participate in the labour market. It emphasized the most vulnerable,

expanding reproductive health care for Roma women, for example. On the empowerment side, capacity building with youth led several young Roma men and women to join the municipal communities group, which worked with the mayor to address issues facing the community. The two municipalities also began to lobby together for increased government funding, enabling them to learn from each other about empowering vulnerable communities and enterprise development. The success of this approach informed the government's policy on the social integration of Roma people through a redesigned action plan.

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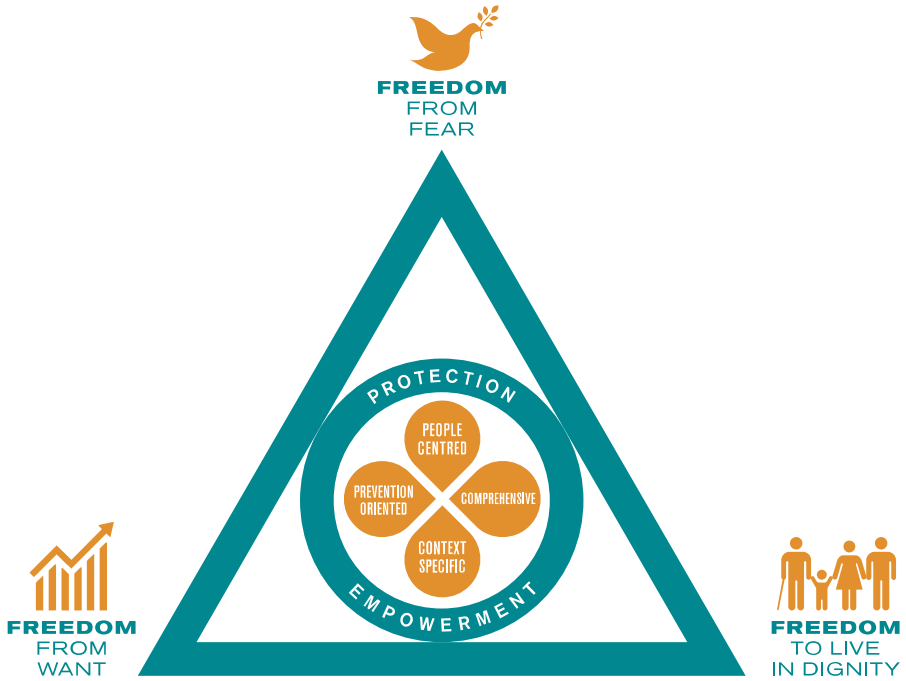


Protection and empowerment strategies: one example

GOAL

Enhance the safety and ensure the rights of seasonal migrants along the Panama-Costa Rica border

STRATEGY

Protection component:

1) Build the capacities of local authorities, strengthening the inter-institutional arrangements on migration and worker protections within each country as well as between them.
2) Increase access to friendly and intercultural services.
3) Implement bi-national political agreements to form a protective network.*

Empowerment element:

1) Create mechanisms and spaces that allow migrants to be aware of their rights, including the right to access public services.
2) Enhance access to community-based social, health and labour services (including child care alternatives) that are culturally and gender sensitive throughout the migratory route.
3) Raise awareness regarding the violations of rights suffered by the indigenous population as they migrate between the two countries.

*In 2016, the Minister of Foreign Affairs of Costa Rica recognised the success of the programme and announced their intention to introduce a new temporary worker scheme that would regularize some of these migrants and will allow them to exercise their rights to work, health care and education.

2c Implement in a participatory manner

Processes that enhance participation are critical to operationalizing the humanitarian-development-peace nexus. They make it possible to harness the full range of experience, expertise and energies needed to tackle complex situations. The NWOW is meant to maximise participation among UN agencies, their partners at all levels of government and civil society as well as the people in the targeted communities. In practice, however, these processes often fall short. The human security experience has yielded methods — honed during years of emphasizing localization — that can make this goal more achievable.

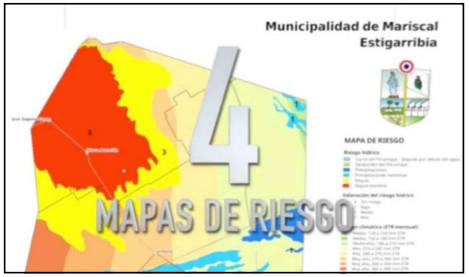
GOAL

To implement in a way that involves national and local partners and the affected communities and builds their capacities to drive change.

HOW

1) Create an environment for multi-stakeholder engagement and partnerships.
2) Consider the various actors' comparative advantage in delivering results.
3) Sustain participants' commitment through meaningful participation.

In 2014, the indigenous residents in the Chaco region of **Paraguay**, already affected by poverty and discrimination, had endured frequent droughts and flooding as a result of the El Niño climate phenomenon. For their part, local and national authorities were caught in a cycle of disaster and relief that left little room for lasting recovery and development. But by 2017, after taking part in a UNTFHS-supported programme led by UNDP, WFP and PAHO, the authorities had made a significant shift toward self-management and resilience. A tool they developed with input from stakeholders, were risk maps, which helped them anticipate danger and protect communities. (See examples from the municipalities of Filadelfia and Mariscal Estigarribia, below). This tool — and the organizational ability of the community — was put to the test in January 2018, when they were able to avoid a humanitarian disaster by evacuating the affected communities in time.[10] This disaster prevention work was accompanied by initiatives that improved the health, safe water supply and food security for indigenous communities and improved livelihoods in settler communities. Central to the programme's success were intersectoral development tables, an inclusive mechanism where members of the community and indigenous groups would gather with other stakeholders to discuss, design and take action. These gatherings promoted better coordination among those from different sectors and helped integrate action at the local level. They also ensured that the programme aligned with the expectations and interests of the communities and was implemented in partnership with government and community representatives. This coordination platform later served as a demonstration model for the entire Chaco region.



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[10] For more information, see "Floods: Social organization is the best defense", La Nacion, 10 April 2018, available at: https://www.lanacion.com.ar/opinion/inundaciones-la-organizacion-social-es-la-mejor-defensa-nid2124149/.

In the north of **Kenya**, a UNTFHS-funded programme is a good example of involving affected communities in a way that builds their capacities to drive change. The programme was led by UNDP, along with FAO, IOM, WHO, UNICEF and WHO, from 2012 to 2016. It sought to improve human security in the communities of Turkana that border Uganda. There, frequent drought had exacerbated poverty and competition for resources, fueling conflict over pasture and water. The joint strategy aimed to improve food security and pastoral livelihoods, provide access to health care and raise awareness on child labor and safe migration. In order to help de-escalate tensions, the programme facilitated cross-border and intercommunity visits and meetings among elders and ex-combatants that encouraged tolerance and peaceful coexistence. A focus on diversifying livelihoods (such as poultry and fish farming) gave young men a viable income alternative, discouraging them from participating in raids by tackling a root cause. Recognizing the critical role youth play in peacebuilding, the programme organized forums that brought youth together for dialogue and reconciliation. Youth mobilization activities also included sports for peace and safe migration campaigns and the chance to share views, leading to a reduction in violence. The programme prioritized equal opportunity among men and women, and helped women become an effective force in halting the incitement of raids. As a result, women and youth now have the resources and skills they need to influence community peacebuilding processes. In addition to conflict management, the programme initiated processes for social protection, disaster risk recovery, and natural resource management that involved the communities, all of which strengthened action across the humanitarian-development-peace nexus.

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Participation and the triple nexus

Participatory processes are critical to operationalizing the humanitarian-development-peace nexus. These processes provide the forums that are necessary for harnessing the range of experience, expertise and energies it takes to tackle complex situations. **Inclusivity is key**: they should involve local and national partners and the affected communities and empower those affected to drive change and transformation.

3 Leadership and coordination

Implementing the NWOW is much more than an exercise in coordination; it requires empowered and recognized leadership to bring together partners and establish processes that can change the mindset towards and mechanisms for collaboration. To this end, as recommended by OCHA, the UN Resident Coordinator (RC) is well-positioned to assume such a leadership role. The RC can facilitate joint problem statements and the identification, implementation and financing of collective outcomes; convene stakeholders including national, local authorities and communities themselves; and support connectivity between funders as well as capacities available to contribute to the outcomes.[11]

These processes reflect many of the experiences of UNTFHS-supported programmes, all of which were coordinated by a lead UN agency with two or more UN implementing partners. In fact, today, the development and strategic oversight of programmes considered by the UNTFHS are led by the respective RCs. Managing multidimensional programmes can offer up challenges, but also create solutions. This sections provides experiences from UNTFHS programmes in three areas:

a) **Facilitating joint work**
b) **Engaging national and local authorities, communities and stakeholders**
c) **Coordinating capacity building**

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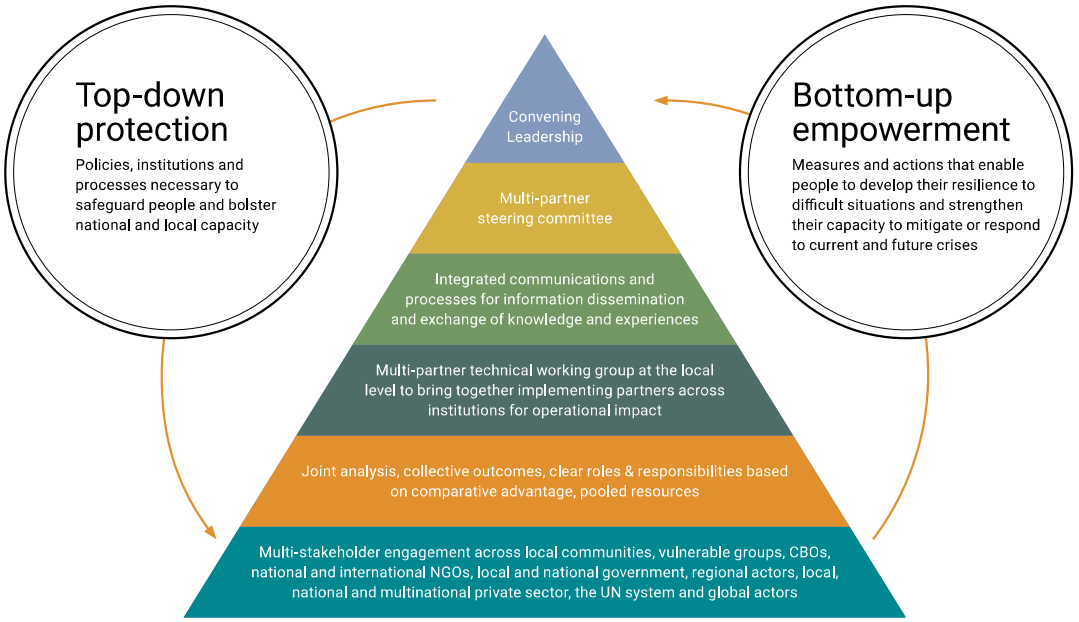
[11] OCHA, *New Way of Working*, 10 April 2017, p. 10.


Top-down protection
Policies, institutions and processes necessary to safeguard people and bolster national and local capacity
Bottom-up empowerment
Measures and actions that enable people to develop their resilience to difficult situations and strengthen their capacity to mitigate or respond to current and future crises
Convening Leadership
Multi-partner steering committee
Integrated communications and processes for information dissemination and exchange of knowledge and experiences
Multi-partner technical working group at the local level to bring together implementing partners across institutions for operational impact
Joint analysis, collective outcomes, clear roles & responsibilities based on comparative advantage, pooled resources
Multi-stakeholder engagement across local communities, vulnerable groups, CBOs, national and international NGOs, local and national government, regional actors, local, national and multinational private sector, the UN system and global actors

3a Facilitating joint work

Lessons learned from UNTFHS programmes highlighted several factors as critical for advancing a genuinely integrated approach to implementation. First, the analytical processes outlined in earlier sections lay the foundation for developing shared understanding and a collaborative process for identifying priorities and the role of each partner. Ensuring that the analytical processes are participatory and inclusive is therefore a prerequisite to engaged and active partnerships that can be sustained over time.

Second, programmes must establish governance and operational structures that enable coordination and promote multi-stakeholder engagement. Steering committees provide strategic oversight and the engagement of decision-makers across institutions and sectors to ensure that interventions have the political will and buy-in of partners to be successful. As a complement, it is essential to create multi-partner technical working groups that bring together partners at the local level on a regular basis based on a joint workplan.

Third, integrated communications, both internal and external, is essential for the success of multi-stakeholder partnerships and should be incorporated into overall workplans and not considered a separate part of an intervention.

In **Ecuador**, from 2013 to 2017, six UN agencies ran a UNTFHS-supported programme to assist vulnerable people along the northern border who faced many forms of insecurity, including poverty, a lack of health care and education, and social conflict stemming from resource competition as well as from across the border in Colombia.

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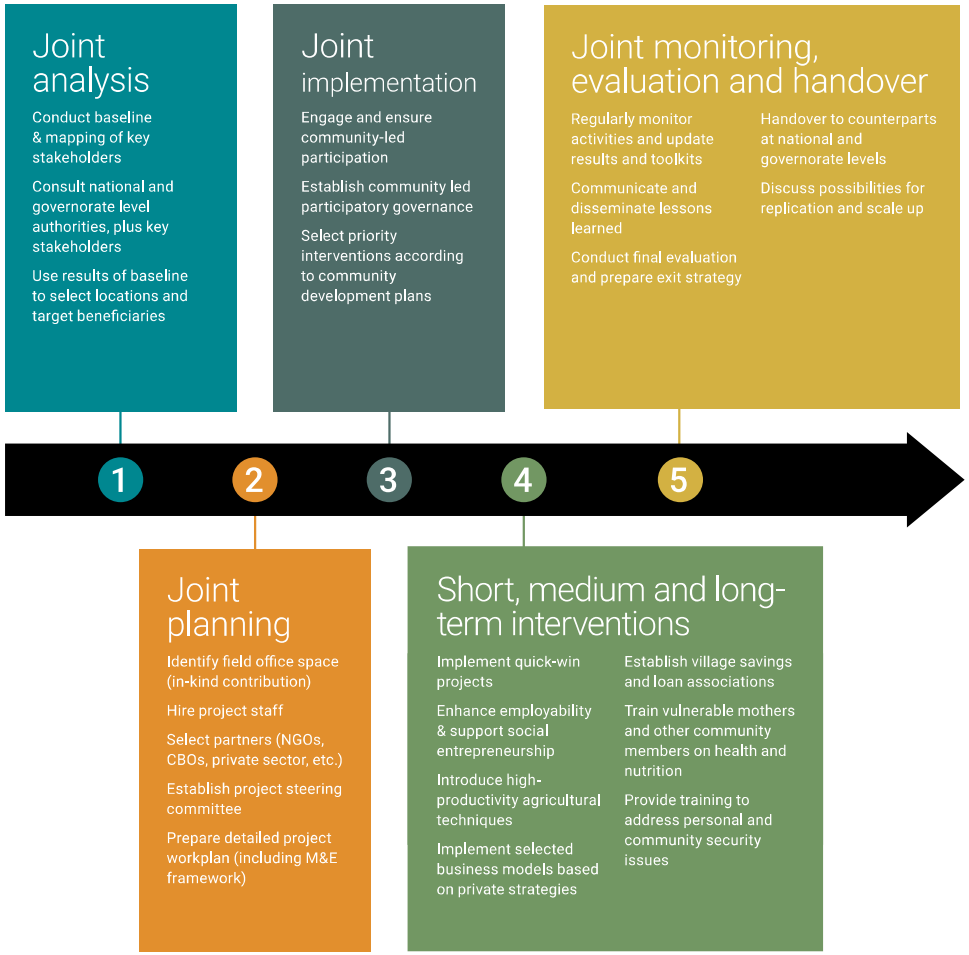
Human trafficking was also a growing problem. The complex problems required an integrated approach and the expertise of the UN system including UNDP, UNESCO, UNFPA, UNHCR, UNICEF and WFP. In practice, the challenges to "working as one UN" could be seen in the different procedures, working methods and interests of the agencies. Another tension was the programme's location in two non-adjacent provinces. Once the senior leadership established a coordination unit in Quito, the programme focal point could more easily identify the direction and implement programme efficiencies.[12] (Indeed, the success of this approach has led the UNTFHS to suggest this for all programmes where appropriate.) Clear guidelines for inter-agency work included the provision for interventions to be agreed upon and accepted by each agency on the technical team. Coordination and efficiency was improved by having local technical teams in the target areas. Finally, the leadership created an inter-agency team responsible for effective communication and knowledge exchange. This kept everyone updated on the status of activities, including across the network of stakeholders. Given the fact that multi-sector interventions are built and operationalized on relationships of trust, solidarity and reciprocity, the programme also instituted mechanisms for mediation and settlement of inter-personal and inter-agency disputes between stakeholder entities.

In Upper **Egypt**, a UNTFHS-funded programme from 2013 to 2017 addressed rising levels of poverty and insecurity. The programme brought together the expertise of UNIDO (as the lead agency), UN Women, ILO, UN-Habitat and IOM in an effort to address challenges and threats in a holistic way. However, the difficulty of managing a multilevel implementation across five agencies — plus subcontractors — led to communication challenges. This was in part due to differences among the agencies' operational procedures and procurement systems. Moreover, a divergence of monitoring standards was compounded by an inconsistent quality of data reported by sub-contractors. This was mitigated through the creation of a unified database of beneficiaries and the re-organization of existing data to allow better reporting against indicators. Another challenge was that the implementation of interventions was happening at varied rates. To mitigate this, the programme, in addition to its office in Cairo, established a field office in Minya where the management committee held regular meetings and successfully re-organized responsibilities. Improved cooperation, including regular reporting of activities and findings, was accompanied by greater synergies among the agencies and partners. A final report noted that further synergies might be achieved through a unified budget managed by a programme management unit or committee with the support and backing from the respective agencies and the UN Resident Coordinator's Office (RCO).

[12] Several UNTFHS-funded programmes have found it effective to locate a programme management office close to where the work is being carried out. Examples include locating programme management — plus a mulati-stakeholder local programme management committee — in a field office in Tripoli, Lebanon and, in Pakistan, basing a project coordination unit in Hyderabad as opposed to Islamabad or the provincial capital of Karachi.

Joint work in Upper Egypt


Joint analysis
Conduct baseline & mapping of key stakeholders
Consult national and governorate level authorities, plus key stakeholders
Use results of baseline to select locations and target beneficiaries
Joint implementation
Engage and ensure community-led participation
Establish community led participatory governance
Select priority interventions according to community development plans
Joint monitoring, evaluation and handover
Regularly monitor activities and update results and toolkits
Communicate and disseminate lessons learned
Conduct final evaluation and prepare exit strategy
Handover to counterparts at national and governorate levels
Discuss possibilities for replication and scale up
1
2
3
4
5
Joint planning
Identify field office space (in-kind contribution)
Hire project staff
Select partners (NGOs, CBOs, private sector, etc.)
Establish project steering committee
Prepare detailed project workplan (including M&E framework)
Short, medium and long-term interventions
Implement quick-win projects
Enhance employability & support social entrepreneurship
Introduce high-productivity agricultural techniques
Implement selected business models based on private strategies
Establish village savings and loan associations
Train vulnerable mothers and other community members on health and nutrition
Provide training to address personal and community security issues

3b Engaging national and local authorities, communities and stakeholders

A fundamental aspect of UNTFHS programmes is close engagement with national and local officials to advance effective joint work, promote sustainability and build governmental capacity in the prevention and delivery of assistance and in the transition to advancing longer-term development objectives. Such engagement ensures that initiatives are rooted in the national and local context, create opportunities to build upon existing resources and assets, and reduce inequalities. They also build, or reinstitute, processes for dialogue between the government and communities, and across communities, that strengthen the social fabric, promote reconciliation and build trust.

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From 2019 to 2021, in post-conflict **Colombia**, a UNTFHS-funded programme implemented by UNDP and UNHCR has been promoting synergies by bridging peacebuilding and sustainable development through better livelihoods. The programme is working with victims of armed conflict, internally displaced persons, ex-combatants, Venezuelans displaced abroad and other community members in the provinces of Nariño in the southwest and Antioquia in the northwest. Engagement across the programme was a high priority. To ensure a comprehensive approach, the UN implementing agencies formed a national technical committee comprising government ministries and agencies for labor, agriculture, rural development, victim assistance and reparations, as well as universities (in collaboration with the London School of Economics), and the Bogotá-based foundation, Peace Start-up. With business development and partnerships at the center of the economic strategy, the programme created an advisory group comprised of members of the private sector as well as related government agencies and universities. The programme also put in place a multi-level and multi-sectoral management structure to coordinate and monitor all national and local activities. This governance model ensured that priorities were aligned with the government as well as the target communities, and that projects complemented each other. Designed to be participatory and inclusive, it was a vehicle for capacity building and multi-actor dialogues and a way to collaborate on sustainable development schemes. This interaction was facilitated by a web-based virtual platform that fostered strategic collaboration and connected public and private actors around business opportunities that yield social and environmental benefits.

An example from the **Dominican Republic** illustrates the synergies made possible from multi-stakeholder engagement which is also cross-sectoral. From 2012 to 2016, a UNTFHS-funded programme sought to help vulnerable Haitian migrants and their descendants living in isolated *bateyes* without national documentation and basic services. It was led by UNHCR, with UNDP and UNICEF. The aim was to create a comprehensive strategy that addressed the full range of needs, with partners focused on the dimension of human insecurity that reflected their expertise but

working with each other to multiply impact. For example, the microenterprises creation strategy included training by the Ministry of Education and nongovernmental organizations for families who were illiterate or had limited agri-business skills. The education ministry also helped provide technical-vocational training, literacy for adolescents and psycho-pedagogical support rooms in the targeted bateyes. Similarly, the Ministry of Health complemented the food security component by promoting trainings, financing and counseling to boost food accessibility. Engaging government ministries from different sectors reinforced their ongoing responsibility for people whose needs had not always been a priority. Sustainability was further ensured by youth engagement (plus scholarships and filmmaking training) and by involving churches and NGOs, whose work continued after the programme ended. As one programme partner observed, UN agencies had often worked in isolation from each other: "This project, I believe, brought the agencies together on a common front and strengthened them in ways they could not have imagined."

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3c Coordinating capacity building

Many across the UN system are experienced in building the capacity of partners and stakeholders because lasting impact often depends on those in country sustaining the work after programme funding ceases. This is also the case for programmes funded in part by the UNTFHS. The example below illustrates how capacity building, when guided by the concept of human security, was approached in a slightly different way.

In 2012, in **Uzbekistan**, UNDP with UNESCO, UNFPA, UNV and WHO, with support from the UNTFHS, led a three-year programme that applied the human security approach to building people's resilience in the face of the Aral Sea crisis. Early on, the UN agencies engaged their counterparts in the national government and in the regional government of Karakalpakstan, convinced that building their capacity was essential to transforming the development prospects for those whose lives and livelihoods were affected by the environmental disaster. The first task was to jointly assess a challenge that had many dimensions at the regional and community levels. The programme worked with the regional economic ministry to create a database based on human security indicators. Then skills training in database management enabled officials from the ministries of health, economy, agriculture and water resources to jointly create maps reflecting the needs and vulnerabilities of communities. Engagement and capacity building were integrated into programme interventions in health, food security and the development of small and medium-sized enterprises (SME). Interventions were implemented through a traditional community structure known as mahalla, giving voice to the individuals and localities that needed the most assistance and contributing to strong community ownership. Capacity building also occurred less formally as part of programme management, which included multi-stakeholder project board meetings and joint monitoring visits to the project sites. These ensured coherence between new initiatives introduced by the project and ongoing initiatives of the Government of Uzbekistan at the national and regional levels.

Capacity building to manage complexity in Uzbekistan

Complex environmental crisis: Loss of the Aral Sea
• Loss of livelihoods
• Out-migration
• Increase in poverty
• Inability to pay for health, food and education
• Malnutrition
• Loss of food source
• Desertification
• Sandstorms
• Air pollution
• Health problems
Capacity challenges and gaps
• Limited data collection and no multi-sector data to capture interconnectedness of challenges
• Limited collaboration between national and regional government
• No platforms for multi-sector collaboration at regional and local levels
• No previous experience with multidimensional programmes or integrated implementation
• Limited process for meaningful community engagement in development planning
Structures and processes to build capacity
• Joint assessment and creation of multi-sector data collection system
• Skills training in database management
• Community needs and vulnerabilities maps
• Multi-stakeholder Project Board (national and regional government plus Ministries of Health, Economy, Agriculture, and Water Resources)
• Mahalla for community engagement and ownership
• Joint monitoring

4 Financing

A key aim of the UNTFHS has been to make grants in a way that encourages a UN-system response to human insecurities faced by communities around the world. In this sense, the fund is a financing mechanism that acts as an incentive: it provides seed funding for UN agencies to work together toward collective outcomes. It is very much in line with the 2019 study, Financing the Nexus, which suggests finding ways to use financing as a strategic "tool to enable and incentivise behaviour and outcomes across the nexus."[13]

In addition, the human security framework itself brings the discussion of financing to the fore of the programmatic process. Both aspects — the fund as a strategic incentive and financing as an integral part of the human security approach — offer experiences to consider when bringing together diverse resources towards joint initiatives.

Pooling resources allows for more efficiency and helps to eliminate duplication. Rather than allocating funds on an agency-by-agency basis, decisionmakers look together at the needs across the programme. This enables them to identify gaps, and not just at the start of the programme, but across its life cycle. Of course, siloed funding also applies to the country and community levels: government ministries have their own budget lines and CSOs usually focus on a specific area such as health or education. Joint monitoring can inform budget decisions and ensure funding for priority areas at all levels and throughout programme implemention.

An example of how that may look: The UN Resident Coordinator secures seed funding and invites UN agencies to expand a joint analysis (including all stakeholders). With this analysis they approach other donors to join and consider existing resources within agencies that can be brought together to reach a shared objective. Synergies can be taken advantage of and the work can be extended. As gaps arise, the UN team can make well-articulated and evidence-based requests for additional resources because the human security approach has required alignment on the strategy and outcomes from the start.

The UNTFHS-funded programme in **Uzbekistan** (also described above) led to a pooled fund to address the negative consequences of one of the world's biggest man-made environmental disasters. When the three-year programme ended, the Government of Uzbekistan and the UN jointly established in 2018 the Multi-Partner Human Security Trust Fund for the Aral Sea (MPHSTF) to build on the success of this work. The purpose of the fund is to ensure the sustainability of the disaster mitigation work and to strengthen a multi-sectoral and people-centered response. The $14 million fund includes support from the Government of Uzbekistan, the European Union, Norway and Finland and is funded through 2022.

[13] Norwegian Refugee Council, FAO and UNDP, Financing the Nexus: Gaps and opportunities from a field perspective, March 2019. Available at: https://www.nrc.no/globalassets/pdf/reports/financing-the-nexus-report/financing-the-nexus-report.pdf.

Another example of a pooled fund is the UNTFHS funded Senegambia Bridge programme in **Gambia**. There, the UN country team and the Government of Gambia leveraged seed funding from the UNTFHS in an effort to maximize the scope and reach of the initiative, which aims to mitigate the unintended consequences of a major infrastructure project on vulnerable people. The partners believe that a unified funding stream can help them more effectively address an interlinked set of SDGs, from multidimensional poverty to the effects of climate change.

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A final example in **Zambia** illustrates the power of UNTFHS seed funding to bring together resources from a diversity of bilateral, multilateral, government and private sector partners in a common approach to promote durable solutions for long-term refugees and host communities. Given the necessity of addressing short-term housing and income needs with longer-term priorities — such as enhancing social cohesion, expanding employment opportunities for refugee and host communities, and increasing the availability of and access to essential services — it was paramount to leverage a diversity of partners and resources from different sectors and timeframes of engagement.

It is worth noting that pooled resources and flexible funding are particularly well suited to working in a designated area as opposed to an entire country. In a localized programme — including those that take a human security approach — needs are driven by challenges on the ground. One can more easily identify when the context shifts to reveal a funding gap or new needs. Indeed, *Financing the Nexus* found in its study that: "Where positive examples of multi-stakeholder collaborations across the nexus were identified, they were often integrated multi-sectoral programmes focused on a specific set of problems in specific geographic areas."

Benefits of joint funding and pooled resources

1) More efficiency and the avoidance of duplication.
2) Gaps being identified and filled across the lifetime of the programme.
3) Flexibility, which is valuable in volatile situations but also in the face of opportunity.
4) Promotes multi-year funding which can better support nexus programming.
5) Deeper engagement and buy-in of partners often resulting in the mobilization of additional resources to continue, scale-up and replicate effective programming.

The human security approach supports this through a clear case for investment that stems from its emphasis on joint analysis and collective outcomes.

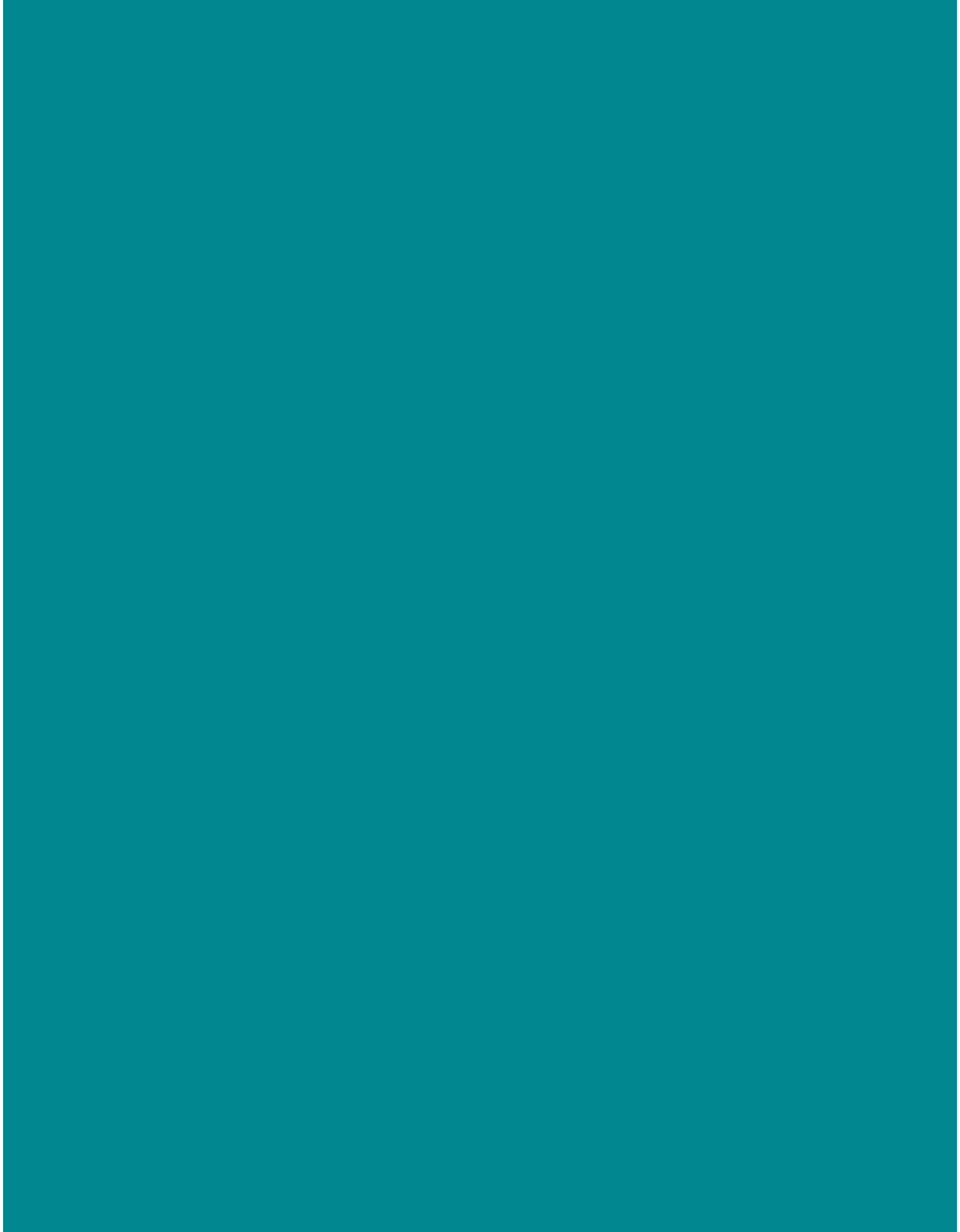
In the *New Way of Working*, OCHA suggests that UN agencies employ financing modalities that can support collective outcomes.[14] They recommend they be flexible and predictable. These thoughts were endorsed by the OECD's DAC in its recommendation on the humanitarian-development-peace nexus on how to enable collective approaches in conflict-affected settings.[15]

While these examples illustrate ways to structure flexible funds, ensuring predictable funding remains a challenge. This is despite its critical nature in the case of protracted crises. Providing multi-year, long-term resources will require diversified funding. This might include promoting opportunities for private sector involvement, as recommended by DAC, or increasing the use of concessional financing, risk insurance, and bonds. Seed funding might be one way to incentivize the development of new ideas and creative solutions.

What is the value of the catalytic funding framework?

In the catalytic-funding framework advanced by the UNTFHS, seed financing from the fund supports inter-agency programming and requires that the funding rationale be jointly articulated. It recognizes root causes and seeks to understand how interlinking factors have led to insecurity in a designated geographic area. Often these are factors that have been previously addressed separately by the UN agencies. While the human security approach recognizes the various types of expertise, it seeks to channel it in pursuit of a holistic, One UN response. The focus is on transformative change: building trust from the beginning and linking all elements throughout the lifetime of the programmatic work. This framework also enables the mobilization of additional resources.

These innovations need to go hand in hand with a smarter use of financing, as suited to each context — both in terms of what is financed — with a greater focus on prevention, sustainability and localized response — as well as in terms of the types of financing given alongside short-term funding for acute crisis response.

The NWOW represents an opportunity to deliver greater efficiencies and greater impact with limited resources. By drawing on lessons learned through the human security approach, it can align programmes and their financing across the humanitarian-development-peace nexus, and holds the promise of sustained progress for people in crisis.

[14] OCHA, *New Way of Working*, 10 April 2017, p. 11.
[15] OECD, 2021, *DAC Recommendation on the Humanitarian-Development-Peace Nexus*, OECD/LEGAL/5019.